

# CALIFORNIA CASE MANAGEMENT SYSTEM CERTIFICATION (2002)

## PROBATE

| #  | Case Event  | Task(s)   | Expected Outcome   | Function   |  |
|----|---|---|--|--|--|
| 1. | <b>CASE INITIATION</b><br>06/01/01<br><br>Petition for Probate of Will filed by pro per petitioner Leonard M. Schmidt, Jr. and Mary Ann Gardner.<br><br>Operator initiates a new case with minimal information. | Initiate a new case with minimal information.<br>Case Name: Estate of Leonard M. Schmidt, decedent<br>Case Type: Probate with Will (over \$100,000)<br><br>Date of filing: 06/01/01<br><br>Generate/enter case number<br><br>Court location: Probate Court, San Diego Downtown branch, Superior Court of San Diego, | Display case record with minimal information entered.<br><br><br><br>Display date of filing.<br><br>Display case number<br><br>Display geographic location | 1.2.8<br><br><br><br>1.3.7<br><br>1.2.3<br><br>1.2.2 | Allow a case to be initiated with minimal information.<br><br><br><br>Track date of filing.<br><br>A. Generate/enter a case number according to an administrator-definable format.<br><br>Track geographic location information. |
| 2. | <b>UPDATING CASES</b><br>06/01/01<br><br>Operator generates list of incomplete cases and updates case information   | Generate list of incomplete cases.<br><br>Update case information as follows:<br><br>Enter party records.<br>Petitioner (pro pers): Mary-   | Display warning and list of incomplete cases.<br><br>Display updated case information<br><br>Display first, last and middle names, and suffixes.           | 1.2.10<br><br>1.2.9<br><br>2.3.1                     | A. Warn when cases are incomplete.<br>B. Track incomplete cases.<br><br>Allow cases to be updated with additional information.<br><br>A. Provide discrete fields for:<br>a. First name;<br>b. Last name;                         |

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| #  | Case Event  | Task(s)  | Expected Outcome   | Function                  |  |
|----|---|--|--|---------------------------|--|
|    |   | <p>Ann Gardner and Leonard M. Schmidt Jr. 212 West Cloud Drive #10B, San Diego, CA 91940</p> <p>Decedent: Leonard M. Schmidt, 787 Uptown Road La Mesa, CA 91945</p> <p>2<sup>nd</sup> Address: DBA Towne Copy Center, 468 Horton Plaza, Ste. 454, San Diego, CA 91935</p> <p>Executor: Leonard M. Schmidt, Jr. AKA Lenny Jr. Schmidt</p> | <p>Display hyphenated names, aliases, and DBAs.</p> <p>Display multiple addresses.</p> | 2.3.3                     | <p>c. Middle name;<br/>d. Suffix (e.g., Sr., Jr., III);</p> <p>B. Enable data entry of:<br/>a. Hyphenated names;<br/>b. Aliases (AKAs);<br/>c. Doing business as (DBAs);<br/>d. Pro pers;<br/>f. True names;<br/>g. Current names.</p> <p>C. Retain all names in the case index.</p> <p>Enable data entry of multiple addresses for a party.</p> |
| 3. | <p><b>FEE PAYMENT</b><br/>06/01/01</p> <p>Petitioner submits filing fees of \$176. Operator processes fee payment - \$56 cash, \$120 check.</p> | <p>Calculate and distribute fees across fund accounts in accordance with State Controller's Guidelines, Penal Code Section 1463, and California Rules of Court, Rule 850.</p>  | <p>Display calculation and distribution of fees.</p>                                   | <p>1.4.2</p> <p>1.4.3</p> | <p>Calculate, in accordance with State Controller's Guidelines, Penal Code Section 1463, and California Rule of Court, Rule 850:<br/>A. Fees;</p> <p>Distribute across fund accounts in accordance with State Controller's Guidelines, Penal Code Section 1463, and California Rules of Court, Rule 850:</p>                                     |

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| #  | Case Event  | Task(s)   | Expected Outcome                          | Function |   |
|----|---|---|---|----------|---|
|    |   | Generate parties whose fees has been paid.  | Display parties whose fees has been paid. | 1.4.8    | A. Fees;<br><br>Track parties whose fees have been:<br>A. Paid;   |
|    |   | Generate payment information.   | Display payment information.              | 1.4.11   | Record any payment method and multiple payment types for each transaction, including cash, check, credit/debit/ATM card, and advance deposit.   |
|    |   | Generate receipt showing<br>A. Unique receipt ID number;<br>B. Case number, if applicable;<br>C. Court location (of payment);<br>D. Date<br>E. Amount collected;<br>F. Balance/change due to payee;<br>G. Payment type. | Display receipt.                          | 1.4.13   | Generate a receipt showing<br>A. Unique receipt ID number;<br>B. Case number, if applicable;<br>C. Court location (of payment);<br>D. Date<br>E. Amount collected;<br>F. Balance/change due to payee;<br>G. Payment type. |
| 4. | <b>JUDGE ASSIGNMENT</b><br>06/01/01<br><br>Case assigned through default or by operator to probate Judge, Terrel Bell in Department 02. | Enter/generate default judicial assignment.   | Display assignment.                       | 1.2.5    | A. Enable assignment of a case to a:<br>a. Judge;<br>b. Courtroom;<br>c. Judge and courtroom.   |
| 5. | <b>JUDGE RECUSAL</b>  |   |   |          |   |

| # | Case Event   | Task(s)  | Expected Outcome   |       | Function   |
|---|--|--|--|-------|--|
|   | <b>RESCHEDULING, REASSIGNMENT</b><br>06/11/01<br><br>Judge Terrel Bell discovers that his nephew is dating Mary-Ann Gardner's niece. He decides to recuse himself from the case to avoid a conflict of interest.   | Enter judicial officer's recusal and reason for recusal.   | Display judicial officer's recusal and reason for recusal.   | 4.1.5 | A. Track a judicial officer's recusal in a case, and reason for recusal.   |
|   | Operator reassigns case to Judge Larry Ho, in Department 21. The operator schedules first hearing for probate of will on 07/12/01. But Department 21 has a 3 case limit. Operator over schedules in Department 21. | Retrieve Judge Larry Ho's information and reassign case.<br><br>Retrieve resource information for courtroom and preset limits.<br><br>Over schedule case in courtroom. | Display scheduled judge, courtroom and preset limits.<br><br><br>Display warning of over scheduling. | 4.1.1 | A. Allow scheduling of hearings based on:<br>a. Resource availability of:<br>1. Judge<br>2. Courtroom<br>3. Judge and courtroom.<br>b. Preset limits.<br><br>B. Warn of over scheduling. |
|   | Supervisor overrides preset limits and schedules hearing for 07/12/01 in Department 21.  | Override preset limit and schedule date for hearing.   | Display override capability and scheduled date.  |       | C. Allow an operator with the appropriate security level to manually override preset limits.   |
|   | Operator generates/selects notices regarding first hearing, for all parties.   | Generate/select notices.   | Display notice.  | 4.4.1 | A. Generate user-defined notices to appropriate parties and counsel upon:<br>a. Scheduling or rescheduling of a hearing;<br>b. When triggered by related case events.                    |
|   | In the notices, operator includes instructions for parties to check-in at the courtroom.   |  |  |       | B. Allow user to select case notices by description for the  |

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| #  | Case Event   | Task(s)  | Expected Outcome  | Function           |   |
|----|--|--|---|--------------------|---|
|    |  | Generate Register of Actions.  | Display Register of Actions.  | 2.3.9              | function being executed.<br>Generate Register of Actions.   |
| 6. | <b>UNTIMELY FILING</b><br>07/06/01<br><br>Petitioner files proof of publication for 6/23, 6/30, 7/6 and 7/13. Operator enters Proof of Service, but system warns that the document / publication was after the 7/12/01 hearing date.<br><br>Hearing date is rescheduled for 8/16/01. | Enter Proof of Service information.<br><br>Reschedule hearing date.                      | Display warning.<br><br>Display rescheduled hearing date.                         | 1.3.8<br><br>4.1.2 | Identify and warn the operator when a document is not filed timely.<br><br>A. Allow rescheduling (same judge, different date) of one or more hearings from a calendar to one or more other calendars. |
| 7. | <b>BAD CHECK, NSF</b><br>07/07/01<br><br>Petitioner's \$120 check returned due to insufficient funds.<br><br>Update case record for fee payment NSF, generate notice to petitioner, and set timing for 20 days for fees to be paid or pleading stricken. Issue Change notice         | Enter payees' bad check status.<br><br>Reverse transaction and generate notice to payee. | Display payees' bad check status.<br><br>Display reversed transaction and notice. | 7.2.2              | A. Track payees of bad checks/ dishonored payments.<br><br>B. Enable operator to:<br>a. Reverse transactions;<br>d. Generate notices to payee.  |

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| #  | Case Event   | Task(s)  | Expected Outcome  | Function                   |   |
|----|--|--|---|----------------------------|---|
|    |  | Set up tickler mechanism for 20 days from 07/07/01.  | Display tickler mechanism.  | 2.2.3                      | Provide a tickler mechanism.  |
| 8. | <b>BAD CHECK, NSF</b><br>07/17/01<br><br>Petitioner pays \$145 (\$120 + \$25 NSF fees) by check. Operator rejects payment. Petitioner pays by credit card.   | Enter payee information.<br><br>Add NSF fees and reapply payment to case.  | Display payee status.<br><br>Display NSF fees addition and reapplication of payment.  | 1.4.12                     | Alert the operator of payees with 'bad check/dishonored payment' status.<br><br>B. Enable operator to:<br>b. Add NSF fees;<br>c. Reapply payments;  |
| 9. | <b>ATTORNEY INFORMATION</b><br>07/18/01<br><br>Attorney Richard Raymond retained with associate George Elliot to represent Petitioner.<br><br>Operator updates case with attorney information by selecting attorneys using State Bar Association number and last name. | Enter the following attorney information:<br><br>Attorney Richard Raymond<br>Probates are Us<br>State Bar No. 555123<br>102 W. Broadway Suite 320<br>San Diego, CA 92101<br>Phone: (619) 555-2345<br>Fax: (619) 555-2346<br>Email: rraymond@pau.net<br><br>2 <sup>nd</sup> Address: 756 Broadway, Ste. 450, San Diego, CA 91020. | Display attorney information.<br><br><br><br>Display multiple addresses, telephone numbers, fax numbers, and email addresses. | 2.4.1<br><br><br><br>2.4.3 | Enable entry of attorney information in discrete fields for:<br>A. First name;<br>B. Last name;<br>C. Middle name;<br>D. Suffix;<br>E. State Bar number;<br>F. Unique identifier.<br>Note: E and F could be the same.<br><br>Allow for the data entry of multiple: <sup>1</sup><br>A. Addresses;<br>B. Telephone numbers; |

<sup>1</sup> For the purposes of evaluation, multiple means more than one.

| #   | Case Event   | Task(s)  | Expected Outcome  | Function |  |
|-----|--|--|---|----------|--|
|     |  | Select the following attorney and associate the information to the case:<br>2 <sup>nd</sup> Attorney: George Elliot<br>State Bar No. 796923<br>Same firm and address as<br>Email:gelliott@pau.net. | Display attorney information using State Bar Association number, Unique identifier, Firm's name, Last name. | 2.4.2    | C. Fax numbers;<br>D. E-mail addresses.  |
|     |  |  | Display attorney association to the case.   |          | A. Allow for accessibility of the attorney record using:<br>a. State Bar Association number;<br>b. Unique identifier;<br>c. Name of Firm;<br>d. Last Name.   |
|     |  | Enter private attorneys retained.  | Display multiple attorneys' information.  | 2.3.4    | B. Allow an operator to use the State Bar Association number, Unique identifier, Firm's name, Last name to select and associate an existing attorney record to a case rather than reentering attorney information for each case. |
|     |  |  | Display type of attorney.   | 2.4.5    | Enable data entry of multiple attorneys for a party.   |
|     | Operator enters the change from Pro Per to retained counsel. | Generate history of representation on the case.  | Display history of representation.  | 2.4.4    | Track the type of attorney assigned to a case (e.g., private attorney, court-appointed counsel, public defender, etc.)   |
| 10. | <b>MULTIPLE ROLES</b>  |  |   |          | Allow for maintenance of a history of attorneys representing a party in a case.  |

| #   | Case Event   | Task(s)   | Expected Outcome  | Function           |   |
|-----|--|---|---|--------------------|---|
|     | 08/13/01<br><br>Attorney Richard Raymond files petition to be named as Administrator.  | Attorney added as party.<br><br>Retrieve party status (active as attorney and administrator). | Display updated party records showing atty as administrator.<br><br>Display party status.                 | 2.3.5<br><br>2.3.8 | Allow multiple roles or relationships to be defined and assigned to a case and to a party.<br><br>Track party status.   |
| 11. | <b>JUDGE RECUSAL, RESCHEDULING, REASSIGNMENT</b><br>08/16/01<br><br>Attorney files Petition for Final Distribution of Decedent's Estate.<br><br>Hearing is set for petition. Attorney requested 09/03/01 on pleadings. Operator schedules hearing on 9/3/01. | Enter hearing date.<br><br>Override warning and schedule date for 09/03/01.                   | Display scheduled date.<br><br>Display warning of holiday conflict.<br><br>Display override capabilities. | 1.2.6<br><br>4.1.5 | A. Automatically schedule the first court event or confirm requested date avoiding weekend and holiday conflicts.<br><br>C. Warn of holiday and weekend conflicts.<br><br>B. Allow an operator with the appropriate security level to manually override scheduled dates.<br><br>B. Warn operator when an attempt is made to |



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| #   | Case Event  | Task(s)   | Expected Outcome   | Function                                     |  |
|-----|---|---|--|--|--|
|     | instead of Judge Larry Ho.<br><br>Operator realizes error and reschedules hearing with Judge Larry Ho on 09/11/01.  | Schedule hearing with Judge Larry Ho on 09/11/01.   | officer.<br><br>NO OUTCOME EXPECTED.   |  | subsequently calendar that case for the same judicial officer.   |
| 12. | <b>HEARING</b><br>09/11/01<br><br>Petition Hearing.<br>Present are:<br>Judge: Larry Ho; Court Reporter: Roberta Rose<br>Clerk: Kathy Wells.<br>Attorneys Richard Raymond and George Elliot;<br>Interpreter: Anna Mokato<br>No parties present.<br><br>Anna Mokato needs a wheelchair. | Generate minute order forms.<br><br>Enter the appearances of Judicial officers, Clerks, Reporters, Attorneys, Interpreters, Parties,<br><br>Retrieve reporter Roberta Rose' information.<br><br>Enter flag for party with description: <i>Requires Portuguese Language interpreter.</i><br><br>Name of interpreter: <i>Anna Mokato</i><br><br>Enter flag and description information. | Display minute order forms.<br><br>Display record of appearances.<br><br>Display reporters' information.<br><br>Display flag and description.<br><br>Display flag and description. | 4.4.2<br><br>5.1.1<br><br>5.1.2<br><br>4.1.6 | Generate minute order forms.<br><br>Track the appearances of:<br>A. Judicial officers;<br>B. Clerks;<br>C. Reporters;<br>D. Attorneys;<br>E. Interpreters;<br>F. Parties.<br><br>Track reporters' information:<br>A. Name;<br>B. Business address;<br>C. Certified Shorthand Reporter license number.<br><br>A. Allow operator to set an indicator or flag with description of special need, for a party which requires:<br>a. An interpreter;<br>b. Accommodation for persons with disabilities;<br>c. Other special needs.<br>B. Allow for the flags to be displayed on: |

| # | Case Event   | Task(s)  | Expected Outcome                                     | Function |  |
|---|--|--|--|----------|--|
|   | Exhibit 1, Bank statement dated April 30, 2001, and exhibit 2, Declaration from bank president dated May 2, 2001, are identified, Marked, Admitted/Entered, Recorded and Stored; | Track, on exhibit lists, exhibits that are: Identified with physical description, Marked, Lodged, Admitted or Refused, Withdrawn, Returned, Recorded/Entered; Stored;  | Display flag on calendars and court room screens.    |          | a. Calendars for court staff only (not for the public);<br>b. User-defined (e.g., courtroom) screens.  |
|   | Exhibit 3, Deed of Trust for residence is Returned, and Exhibit 4, Sole Ownership Business Tax registration certificate is Refused.  |  | Display exhibit status information on exhibit lists. | 6.2.1    | Track on exhibit lists, exhibits that are:<br>A. Identified with physical description;<br>B. Marked;<br>C. Returned;<br>D. Received (Admitted/Entered) or Refused;<br>E. Recorded;<br>F. Stored;               |
|   |  | Enter the following:<br><br>Exhibit ID:<br>Case Number:<br>Party: Mary-Ann Gardner and Leonard M. Schmidt Jr.<br>Attorney: Richard Raymond and George Elliot<br>Exhibit type: Document<br>Exhibit Description: Bank statement dated April 30, 2001<br>Location: Department 21<br>Person holding the exhibit: Clerk Kathy Wells.<br><br>Exhibit ID:<br>Case Number: | Display the exhibit information listed in 6.2.2.     | 6.2.2    | Track data elements for:<br>A. Unique Exhibit identifier;<br>B. Case Number;<br>C. Party;<br>D. Attorney;<br>F. Exhibit type;<br>G. Exhibit description;<br>H. Location;<br>I. Name of person holding exhibit. |

| #   | Case Event  | Task(s)   | Expected Outcome   | Function |   |
|-----|---|---|--|----------|---|
|     | <p>Reporter Roberta Rose has a mild heart attack and is taken to the Emergency Department. The hearing is recorded on digital audiotape no. SDDDB353.56.</p> <p>Stipulation and final distribution are approved. Order is signed. Court orders Probate investigator's report dated 09/27/01 confidential and petitioner's financial statement from JNF Investments dated 05/31/01 sealed.</p> | <p>Party: Mary-Ann Gardner and Leonard M. Schmidt Jr.<br/>Attorney: Richard Raymond and George Elliot<br/>Exhibit Description:<br/>Declaration from bank president dated May 2, 2001<br/>Location: Department 02<br/>Person holding the exhibit:<br/>Clerk Kathy Wells.</p> <p>Enter audio recording information in compliance with Rule of Court 980.5</p> <p>Enter confidential and sealed status of records.</p> | Display audio recording information in compliance with Rule of Court 980.5 | 5.1.7    | Enable compliance with Rule of Court 980.5 for audio recording of courtroom procedures. |
| 13. | <p><b>SCENARIO 2</b><br/>10/01/01</p> <p>Petition for Limited Conservatorship over Mary Ann Gardner filed by Stephen Gardner represented by Atty George Williams. Attorney</p>  | <p>Case Name: IN RE: Mary Ann Gardner, Conservatee<br/>Petitioner: Stephen Gardner</p>  |  |          |   |

| #   | Case Event   | Task(s)   | Expected Outcome  | Function                        |  |
|-----|--|---|---|---------------------------------|--|
|     | posts \$50,000 bond. Attorney George Elliot appointed to represent Conservatee Mary Ann Gardner.<br><br>Operator links Mary Ann Gardner's previous Probate case with current case. | Identify and link previous existing party record rather than re-entering party information.<br><br>Enter the following bond information:<br><br>Bond Amount: \$50,000<br><br>Name of Agent:<br>Eric Chang<br><br>Address of Agent:<br>574 Broadway, Suite No. 2,<br>San Diego, CA 91794<br><br>Surety Company:<br>West Insurance Co.<br>Address of Surety Company:<br>574 Broadway, Suite No. 2,<br>San Diego, CA 91794 | Display existing party record information as linked to current case.<br><br>Display bond information.<br><br>Display bond agent and surety company information. | 2.3.2<br><br>1.3.3<br><br>1.3.4 | Allow an operator to identify and link an existing party record rather than re-entering party information for each case or complaint.<br><br>Track:<br>A. Receipt of bonds.<br><br>Track:<br><br>B. Bond amount;<br>C. Name of Agent;<br>D Address of Agent;<br>E Name of Surety company;<br>F. Address of Surety company. |
| 14. | <b>TRANSACTION DATE</b><br>10/02/01<br><br>Atty Elliott enters statement in opposition to conservatorship appointment. Operator enters filing date of 20/03/01.                    | Enter incorrect date.   | Display error or warning that the transaction date is not valid.  | 2.1.2                           | A. Validate transaction date format.   |

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| #   | Case Event  | Task(s)   | Expected Outcome   | Function |  |
|-----|---|---|--|----------|--|
|     | Operator records previous day's(10/01/01) transaction (bond information) today (10/02/01). As operator does not have security level, Supervisor who has the security level enters past effective date transactions.<br><br>Atty Elliott files application for waiver of additional court fees and costs on behalf of Conservatee. | Enter past effective date's transaction.<br><br>Generate/retrieve audit trail of date entries.<br><br>Enter fee waiver application information. | Display past effective date's transaction.<br><br>Display audit trail of date entries.<br><br>Display fee waiver requests. | 1.3.5    | B. Allow an operator with the appropriate security level to enter transactions with current entry date, past effective date, or future effective date.<br><br>C. Maintain an audit trail of date entries.<br><br>Record fee waiver requests. |
| 15. | <b>CONFIDENTIAL AND SEALED RECORDS</b><br>11/20/01<br><br>Attorney Sam Crump requests Probate investigator's report dated 09/27/01 and petitioner's financial statement from JNF Investments dated 05/31/01.<br><br>Operator retrieves status of the records  | Retrieve confidential and sealed status of records.   | Display confidential and sealed status of records.   | 2.5.4    | A. Restrict access to confidential records.<br>B. Restrict access to sealed records.   |
| 18. | <b>CASE CLOSING ROUTINES</b><br>11/30/01<br><br>Stephen Gardner appointed conservator for Mary Ann Gardner. Bond is exonerated. Probate accounting is overdue 61  | Enter disposition and initiate 60-day tickler for when the Probate accounting is due.   | Display due and overdue events and access respective case records.   | 2.2.2    | A. Identify and display a list of cases with due and overdue events.<br>B. Provide links/access to the respective case records.  |

| # | Case Event | Task(s)  | Expected Outcome  | Function |   |
|---|------------|--|---|----------|---|
|   | days later | Enter exonerated bond information.                           | Display exonerated payment.                                 | 7.2.3    | Allow an operator, at any point in the accounting period, to:<br><br>B. Refund exonerated payments;                   |
|   |            | Retrieve future hearing dates and outstanding fund balances. | Display future hearing dates and outstanding fund balances. | 5.1.4    | Before closing the case the application should identify:<br>A. Future hearing dates;<br>B. Outstanding fund balances. |